

# **DISTRIBUTED PROCUREMENTS POLICY and GUIDELINES**



**DPU Version 4  
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Berkeley National Laboratory**

# PROCUREMENT CARD POLICY and GUIDELINES

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DPU Cardholders are responsible to ensure that periodic updates to the Distributed Procurements Policy and Guidelines are inserted in the manual when received from the Distributed Procurements Manager.

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Printed by DPU Cardholders in PCard Software

There are four PCard Cardholders Reports:

33	<b>Transaction Summary Posted Report Lists Only Transactions Posted to the General Ledger</b>	33
	DPU Cardholders print this report monthly – <b>MUST BE SIGNED AND DATED MONTHLY BY DPU CARDHOLDER AND TEAM LEADER</b>	
34	<b>Transaction Summary Report</b>	34
	Lists all DPU Cardholders transactions that are: Unmatched/Matched/Reconciled/Posted	
35	<b>Transaction Account Summary Report</b>	35
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36	<b>Print Order Report</b>	37
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## **INTRODUCTION:**

- A. This Distributed Procurements Policy and Guidelines describes the authority, limits, and responsibilities of the Distributed Purchasing Group (DPU) Cardholders when acquiring goods or services under the DPU Program. These policies and guidelines were developed to advise DPU Cardholders of their various obligations and to protect the integrity of the Procurement Card. Violation of these policies and guidelines will result in a commensurate level of corrective action up to and including revocation of privileges.
- B. The DPU Program was established to improve the efficiency of the University of California's Lawrence Berkeley National Laboratory (LBNL's) low value acquisition process, while reducing procurement transaction costs without impacting Laboratory operations.
- C. The Distributed Procurements policy and guidelines is designed to be a living document.
  - 1. As the policies and guidelines change, DPU Cardholders will be notified of the changes as they occur.
  - 2. DPU Cardholders are responsible for ensuring their actions comply with all current policies.
- D. For further guidance regarding proper procurement methods, refer to the Procurement Web site, Reference Library, U.C. Procurement Standard Practices Manual and the Restricted Items list for necessary reviews and/or approvals required for certain purchases.
- E. Direct any questions or comments to the DPU Manager or DPU Team Leader.

## **BENEFITS:**

Using the Procurement Card benefits the Laboratory by:

- Streamlining the acquisition process of low-value, standard off-the-shelf material and services
- Reducing paperwork and the overall processing costs associated with the acquisition of low-value goods, designated on-site and off-site services
- Providing prompt payment to the merchant

## **OVERVIEW:**

The Ernest Orlando Lawrence Berkeley National Laboratory (Berkeley Lab) has joined an original agreement between The Regents of the University of California and US Bank, that allows authorized DPU Cardholders to make purchases for selected materials using a Procurement Card (PCard) as opposed to the normal buying process in accordance with University of California – Procurement Standard Practices Section 13 – Small and Simplified Purchase Procedures – Subject: 13.4 Purchase Card Program. In turn, US Bank utilizes the Visa network services for electronic processing of transactions and value added reporting capability.

## **GUIDELINES FOR PROCUREMENT CARD USE**

This Distributed Procurements Policy and Guidelines establishes Standards and Procedures by which Distributed Procurement Cardholders must manage their procurement activity. If the DPU Cardholder has questions regarding whether the procurement card is the appropriate method of acquisition, the DPU Cardholder must contact the DPU Manager, DPU Team Leader, or DPU Coordinator.

## **DISTRIBUTED PROCUREMENT UNIT (DPU) POLICY AND GUIDELINES FOR PROCUREMENT CARD PURCHASES**

### **SECURITY/PROTECTION/ACTIVATION**

The PCard is valuable property, which requires proper treatment by the DPU Cardholder to protect it from misuse by unauthorized parties. Upon receipt of the card, activate it by calling the 800 number on the back of the card and sign the back of the card. Do not leave reports or papers bearing your account number out for others to see. Shut off computer after working hours or when not in use. Instruct merchants not to put your Visa account number and expiration date on the packing slips. For security purposes scratch off the Visa account number if it appears on any paperwork you retain.

### **MAKING A PROCUREMENT CARD PURCHASE**

Certain basic procurement procedures apply in accordance with University of California – Procurement Standard Practices Section 13 – Small and Simplified Purchase Procedures – Subject: 13.4 Purchase Card Program.

**You must review this Distributed Procurements Card Policy and Guidelines and Procurement Standard Practices 13.4 before using your Procurement Card. If you have questions concerning the program contact the DPU Manager, DPU Team Leader, or DPU Coordinator.**

An ePro request can not be substantially changed. If the description is substantially changed or quantity is increased the request must be canceled and a new requisition must be entered into ePro for approval. All substantial price increases must be re-approved by the person that approved the request in ePro. This must be done via e-mail and all e-mail(s) must be filed in the PCard order and noted in the comments field.

If there is a minimum order quantity it can be approved via email by the original approver in ePro. All e-mail(s) must be filed in the PCard order and noted in the comments field.

Any item that appears to be non-essential for Laboratory business necessity must be questioned as to the business need. Send an e-mail to the requester/approver and ask what the business necessity is. DPU Cardholder must note in the comments field the use of the item and file all e-mail(s) pertaining to the order in the file. If you have questions you must contact the DPU Team Leader or DPU Manager.

## **ENVIRONMENTALLY PREFERABLE PRODUCTS AND SERVICES**

Environmental health and safety, hazardous waste minimization and management, air and water quality, and general environmental issues are central to LBNL's numerous activities and requirements. Accordingly, DPU Cardholder's shall, to the extent possible, procure environmentally preferable products or services; i.e., those that have a lesser or reduced effect on human health and the environment when compared with competing products or services that serve the same purpose.

## **CONTROLS**

The Berkeley Lab/US Bank Visa Procurement Program uses internal management controls as well as features and reports from Visa's system to manage and audit the process to ensure that procedures are followed. Some of the established features and controls allow the Laboratory to:

- All purchases are handled through the ePro requisitioning system which is inputted by a requester/preparer and approved by the division's approver with signature authority then routed to the ePro Pool to be assigned by a DPU Team Leader to a DPU buyer.
- DPU buyers are not to enter any requisitions into ePro.
- Set a Transaction Dollar Limit - (Current maximum amount is \$10,000)
- Set a Monthly Spending Limit – (Typical maximum amount is \$150,000)
- Set-up Merchant Category Codes (MCC) to define what type of merchants the procurement card can or cannot be used for. (For example: Prohibit the purchase of certain unauthorized classes of supplies such as hotels, airlines, etc.)
- Set-up a Monthly Cycle to track cardholders spending. Our monthly cycle begins on the 18<sup>th</sup> of each month. At that time the spending limit on each cardholder account is set at zero. During the monthly cycle the dollars charged against the card are tracked. If a cardholder has a cycle spending limit of \$50,000 and they exceed the limit before the 17<sup>th</sup> of the month, further charges against the card will be declined by the bank until the beginning of the new cycle. If a DPU Cardholder anticipates a high monthly spending limit they can have their monthly spending limit raised by sending a request to their DPU Team Leader.

## **LEAVE OF ABSENCE**

If a DPU Cardholder goes on extended leave of absence the DPU Team Leader must notify the DPU Coordinator. DPU Coordinator will put a temporary hold on DPU Cardholder card and reduce cardholder limit to zero until DPU Cardholder has returned. DPU Coordinator will make sure that any transactions that have hit a DPU Cardholder's card when they are on leave of absence are reconciled and there is no fraud.

## **WHAT YOU MAY PURCHASE**

You may purchase common goods and services up to \$10,000 including shipping and handling per PCard order. DPU Cardholders are to observe the limits placed on their cards. **Refer to the section "Procurement Card Restrictions," listed below, for items that cannot be purchased.**

## **PROCUREMENT CARD RESTRICTIONS**



**PURCHASING ITEMS FOR PERSONAL USE IS STRICTLY PROHIBITED!** Your card is not to be used or offered in non-Lab related, personal transactions, where identity identification is requested in order to transact personal business or establish personal, non-Lab related accounts with merchants.

DPU Cardholder's are authorized to execute orders only for the purchase of goods or services that are allowable, reasonable and have a direct benefit to LBNL.

**LENDING OR SHARING OF YOUR PROCUREMENT CARD IS PROHIBITED AND WILL RESULT IN THE IMMEDIATE SUSPENSION OR CANCELLATION OF YOUR PROCUREMENT CARD.** Re-delegating your procurement card authority by allowing others to your Procurement Card (Visa) account number, or in any way permit usage of your authority to purchase commodities or services will be considered an unauthorized procurement.

**DO NOT purchase items listed on the RESTRICTED ITEMS LIST/RESTRICTED CHEMICALS** (refer to "PCard Restricted Items & Restricted Chemicals - Do Not Buy" located in Section 1). **Before beginning procurement card buying, DPU Cardholders are responsible for looking over the Restricted/Sensitive Items Lists and become familiar with the materials that are restricted from procurement card purchases. For questions regarding the restricted items list, contact the DPU Manager, DPU Team Leader, or DPU Coordinator.**

**DO NOT purchase Controlled Property with the Procurement Card.** – Controlled Property is a piece of equipment with a value of equal to or greater than \$5,000.

**DO NOT purchase Sensitive Property with the Procurement Card.** - Refer to the section "Property Marking and Tagging" (Pink Page) under Section 1 - Procurement Instruction for the Laboratory's definition of Sensitive Property (exception for items that require written justification and ordered on PeopleSoft, i.e. refrigerator, microwave oven, etc.). For convenience Sensitive property items are listed on the "Procurement Card Restricted Items" List.

**DO NOT "Split"** orders to circumvent your transaction limit.

**Splitting Procurement Card Order Restrictions:**

1. Requesters and DPU Cardholders are prohibited from splitting single requirements to circumvent required approvals or dollar thresholds that would restrict a purchase due to the delegated signature authority limit or the proper procurement method.
2. DPU Cardholders and requesters shall select the procurement method based on the information that is known at the time the requirement is identified. The procurement method selected shall be the one that best accommodates the dollar level, item specifications and delivery requirements.
3. The following list includes, but is not limited to, examples that may indicate that a procurement order has been split:

- Issuing two (2) or more orders because the total cost for the quantity of required goods or services exceeds the order's dollar threshold and/or DPU Cardholder's delegated authority
- Issuing two (2) or more orders because the total cost of the goods or services, including shipping and handling costs, exceeding the order's dollar threshold and/or DPU Cardholder's delegated authority
- Issuing two (2) or more orders for stand-alone equipment to avoid exceeding an order's dollar threshold and/or DPU Cardholder delegated authority
- Issuing two (2) or more orders to expedite the procurement process.

Example: A DPU Cardholder receives a request to purchase a piece of equipment valued at \$4,000. The equipment cannot be used, and is not fully functional, without the purchase of additional parts (not optional parts). The parts are valued at \$6,000 and are purchased on a separate order to avoid exceeding the maximum threshold for a single item which is less than \$10,000. (When the main component and the additional, necessary parts are assembled, the unit is complete.) Purchasing the complete unit in this way is splitting the order.

4. A review will be conducted by the DPU Manager, DPU Team Leader, Self-Assessment Team or Audit Reviewers to access and determine if an order has been split. The review may include soliciting information from various internal and external sources. Final determination will be based on evaluation of the information obtained.
5. Splitting an order may result in retraining or evaluation of DPU Cardholder performance or other action(s) deemed appropriate by the DPU Team Leader and or DPU Manager.
6. The DPU Team Leader shall monitor requisitions when assigning them to DPU Cardholders to make sure that it is within the DPU Cardholders transaction limit.
7. The DPU Cardholder monitors requisitions when placing PCard orders to identify PCard order splitting and that it is within their transactions limit.
8. The DPU Coordinator will continually monitor DPU Cardholder's PCard orders and PCard transactions daily for possible splits and notify DPU Team Leader of any findings.

**DO NOT** use the Procurement Card if the material is available from LBNL Stores. *(Small inventories of commonly used products are maintained at LBNL as Stores Stock Items. These items are acquired by Inventory Management and offer a substantial cost and time savings. DPU Cardholders are not to purchase material to replenish LBNL stores stock on the PCard, orders should be placed on PeopleSoft.)*

**DO NOT** use the Procurement Card if the material is available on a Systems Subcontract or Blanket Agreement. Exception: If the established merchants are unable to deliver as required.

### **COMPUTER PURCHASE RESTRICTION**

**Computers (desktop, laptops, workstations, servers, etc.) are considered Restricted and may not be purchased with a Procurement Card.** The exceptions to this restriction are computers and laptops purchased under the KST, Micron and Dell B2B systems contracts (blanket contracts) only. Arrangements have been setup to mark (tag) all computers and laptops purchased under the KST, Micron and Dell B2B system contracts. DPU Cardholders are to direct all computers and laptops purchased under the KST, Micron or Dell B2B systems contracts to the Lab Central Receiving location, Bldg. 69 Central Receiving, or for JGI purchases, to the JGI Walnut Creek Central Receiving location.

### **SENSITIVE ITEM POLICY**

Property Management is required to track and control all items indicated below with a value of \$300 or higher except PDA's or iPod's regardless of there value. As items are received in Central Receiving and the Property Control Number should be assigned and the items entered in the Property Management database.

#### **Restricted from Procurement Card (PCard) Purchase**

- **Computer External Devices CD, DVD**
- **Cameras (Still & Digital)**
- **Computers (regardless of value)**
- **Dictating Recorders**
- **iPod (regardless of value)**
- **Multi-Functional Office Equipment (Printers, scanners, fax, copiers, digital senders (all in one units)**
- **Personal Data Assistants (PDA'S) all Personal digital assistants and organizers with a PC connection /hand held computers/ (regardless of value)**
- **Portable Video Projectors**
- **Printers**
- **Recorders (CD, DVD, Dictating & Video)**
- **Scanners for Computers**
- **Telephone (cellular, satellite, wireless)**
- **Video Cameras**
- **Video Projectors**
- **Video Recorders**

(Exception: Computers and Laptops bought on the KST, Micron or Dell B2B Systems contracts)

DPU Cardholders are not to separately purchase computer components to circumvent the procurement card (PCard) computer restriction. Conversely, a DPU buyer may be able to place the order in PeopleSoft, if the purchase amount is within their ordering limits. Please contact a DPU Team Leader if you have questions regarding the PCard computer, laptop and sensitive item purchase restriction.

**JUSTIFICATION FOR FREEZER, REFRIGERATOR, MICROWAVE OVEN, VACUUM CLEANER and HEP FILTERS**

Form must be filled out and approved for accountability by DPU Manager or DPU Team Leader prior to purchasing on PeopleSoft. DPU Cardholder must also send a copy of the form to the appropriate EH&S Representative and file a copy with the Order. Forms located on Procurement website – Forms Cabinet.

**TELECOMMUNICATION, TELEPHONE EQUIPMENT and RADIO FREQUENCY SPECTRUM DEPENDENT DEVICES - WAIVER**

Telecommunication, Telephone Equipment and Radio Frequency Spectrum Dependent Devices can only be purchased by one (1) designated DPU Buyer. Waiver issued by the Computing Sciences Division that put the item on the restricted item list.

Requests for goods or services that deviate from the policies and procedures in this manual may not be processed without prior written approval from the DPU Manager or DPU Team Leader.

**CONTROLLED and SENSITIVE ITEM – WAIVER**

Conversely a DPU Cardholder can purchase a controlled or sensitive item if the item can't be purchased from a company that doesn't accept purchase orders. The PCard Order has to be approved by the DPU Manager or DPU Team Leader and the Property Manager. Form located in exhibits.

06/28/04

# RESTRICTED ITEMS LIST

October 2006

## ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

The Restricted Items List has two sections: *Prohibited Items* and *Special Treatment Items*.

### PROHIBITED ITEMS

*Prohibited Items* are items the Laboratory is prohibited by its Prime Contract with DOE from purchasing with Government funds without special approval. *Prohibited Items* are not to be purchased using PCards or B2B System Contracts. These items may be purchased on regular purchase orders only after DOE approval is obtained.

ITEM	REFERENCE
ANY ITEM THAT IS NON-ESSENTIAL FOR LABORATORY BUSINESS	SP 31.3 Unallowable Expense
Advertising to Promote the University	Ron Kolb
Beverage, Alcohol	SP 31.3
Bindery Services	Faye Hutchings
Bonds (other than construction, performance, labor, and material bonds)	Facilities
Contributions & Donations	SP 31.3
Copying (Photo)	Faye Hutchings
Decorative Items	SP 31.3
Duplicating Services	Faye Hutchings
Entertainment expense	SP 31.3
Fines or penalties caused by willful misconduct	SP 31.3
Framing for personal use	SP 31.3
Gifts	SP 31.3
Insurance (including value declarations)	SP 31.3
Hospitals and related medical services	SP 31.3
Housing	SP 31.3

ITEM	REFERENCE
License fees (except software license, without terms and conditions)	SP 13.1
Lobbying costs	
Lodging costs	Jill Stark
Luxury Items (e.g. leather bound desk accessories, grades above what is absolutely necessary to accomplish the Lab's mission)	SP 31.3
Memberships in social, dining, or country clubs	SP 31.3
Ornamental items (pictures, plants, etc.)	SP 31.3
Permits	SP 31.3
Personal Property (items of a personal nature, e.g. microwave oven, coffee pot, radio, refrigerators, etc.)	SP 31.3
Personal property for employees (reimbursement due to loss)	SP 31.3
Photocopying	Faye Hutchings
Promotional items, memorabilia, models, gifts, and souvenirs	SP 31.3
Quality Affected Project Items for Yucca Mountain	Earth Sciences – Peter Lau
Recreational equipment	SP 31.3
Royalties on Patents	SP 31.3

# RESTRICTED ITEMS LIST

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## SPECIAL TREATMENT ITEMS

**ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING**

*Special Treatment Items* require special approvals, controls, or safety measures. These items may only be purchased when the specified requirements are met. Items marked with an asterisk (\*) may not be purchased using a PCard or a B2B Systems Contract and must be purchased using a purchase order.

### Miscellaneous Items

ITEM	REFERENCE	DPU Y/N
Alcohol (Ethyl)	Stocked at Stores	N
Auditing services by CPA's	Internal Audit	N
Automotive Accessories (not original equipment)	Facilities	Y
Automotive Rental	Facilities	N
Background Checks and Degree Verifications	Human Resources	N
Biological agents (see below on list)	EH&S	Y
Biosafety cabinets	EH&S	Y
Breathing Apparatus	EH&S	Y
Business cards	Faye Hutchings	N
* Cameras Digital, Still, & Video	Sensitive item	Y
Carpets	Facilities	N
* CD Recorders	Sensitive item	Y
* CD Writers	Sensitive item	Y
Cell Phones (purchase & rental)	Richard Gregory	N
Cell Phone Providers	Richard Gregory	N
Chairs	SP 31.3	Y
Chemical Storage Cabinets	EH&S	Y
Chemicals (selected chemicals see below on lists)	EH&S	Y
* Computer CD, DVD as external devices	Sensitive item	Y
Computers, CPU's, Servers, Sensitive Property (KST, Micron & Dell only)		Y
Conferences, all types – including reservations for conferences or hosted by the Laboratory	Jill Stark	N
Construction work, including on University-owned Buildings (e.g. Campus Buildings: Donner, Hearst, etc.)	Facilities	N
Consultants (Expert Technical Assistance)		N

ITEM	REFERENCE	DPU Y/N
* Controlled property – equip \$5k and above + life expectancy >2 yrs. unless tagged by vendor	John Morgan	Y
Copy machines	Blanket contract	N
Corrosive storage cabinets	EH&S	Y
Cranes	Facilities Crane/Elevator Office (Steve Wright) for purchase approval	N
Degree Verifications and Background Checks	Human Resources	N
Deposits (cylinders, reels, etc.)		N
Deuterium gas (D2)	EH&S	N
* Dictating Recorders	Sensitive item	Y
Draperies	Facilities	N
Drench hoses		Y
Drug Precursors (see below on list)	EH&S	N
Dust masks (see below note on dust masks)	EH&S	Y
* DVD Recorders	Sensitive item	Y
* DVD Writer	Sensitive item	Y
Eavesdropping devices	Security	N
Electron microscopes		Y
Equipment Producing Ionizing and Non-Ionizing Radiation	EH&S	N
Excess materials	Facilities	N
* Exchanges (must get prior approval from Property)	John Morgan	Y
Explosives (see below on list)	EH&S	N
Eyewashes	EH&S	Y
* Fabrications (based on drawings, etc.)	SP 13.1	Y
Family Radio Service	Robert Ngim	N

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

Items marked with an asterisk (\*) may not be purchased using a PCard or a B2B Systems Contract and must be purchased using a purchase order.

### ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

#### Miscellaneous Items

ITEM	REFERENCE	DPU Y/N
Fasteners, grade 5 and above – hex head cap screws	Michelle Flynn – Office of Assessment and Assurance	N
* Fax Machine – All in One	Sensitive item	Y
Filtering equipment used to control airborne contaminant emissions (e.g., HEPA filters)	EH&S	Y
Fire Extinguishers	EH&S	N
Flammable storage cabinets	EH&S	Y
Food for employees/meetings		N
Foreign origin, material value >\$2,500 unless previously approved by a Procurement Supervisor		Y
Freezers	EH&S & SP 31.3	Y
Fume hoods <i>(if vendor installed NO)</i>	Facilities & EH&S	Y
Furniture, household, office- quarters, chairs, filling cabinets	SP 31.3	Y
Gas cabinets	EH&S	Y
Gases (see below Gases list)	EH&S	N
Glove boxes	EH&S	Y
Heavy water (D20)		N
Helium	EH&S	N
HEPA Filtered Vacuum cleaners and attached filtering	EH&S	Y
Hoists	Facilities Crane/Elevator Office (Steve Wright) for purchase approval	N
Hoods <i>(if vendor installed NO)</i>	Facilities & EH&S	Y
Hoods, lab fume <i>(if vendor installed NO)</i>	Facilities & EH&S	Y
Instruments containing radioactive sealed sources (see below on list)	EH&S	N
Internet Service Providers		N

ITEM	REFERENCE	DPU Y/N
Intra-University Transactions (UC Regents Orders)		N
* iPod	Must be property tagged	Y
Journal Reprints	Library	N
Laminar airflow hoods <i>(if vendor installed NO)</i>	EH&S	Y
Lasers (excluding laser pointers)	EH&S	Y
Leases		N
Machine tools (e.g. large lathes, etc.)		Y
Microwave and Radiowave Sources (see below on list)	Robert Ngim	N
Microwave Ovens	EH&S & SP 31.3	Y
* Multi-Functional Office Equipment (printers, scanners, fax, copiers /all in one units/)	Sensitive item	Y
Narcotics, Drugs-Controlled	EH&S	N
Office Equipment Repairs – Typewriters	John Morgn	Y
On-Site Service, repairs etc., not included on the Designated Commercial Services list and/or in a hazard work area (restricted - all construction related work including fencing, roofing, carpet, window replacement, etc.) see SP-28.2	EH&S	Y
Over the Counter Medications, (aspirin, etc.)	Medical	N
Ozone Depleting Substances (See below on list for Trade/Chemical Name)	EH&S	N
Pagers	Richard Gregory	N

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October 2006

## SPECIAL TREATMENT ITEMS

Items marked with an asterisk (\*) may not be purchased using a PCard or a B2B Systems Contract and must be purchased using a purchase order.

### ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

#### Miscellaneous Items

ITEM	REFERENCE	DPU Y/N
* Personal Data Assistants/PDA/ all Personal Digital Assistants & Organizers with a PC Connection / iPod /Hand Held Computers/ regardless of value	Must be property tagged	Y
Precious metals (gold, iridium, osmium, palladium, platinum, rhodium, ruthenium, and silver)	Controlled Item	N
Printing services	Faye Hutchings	N
* Printers	Sensitive item	Y
Printing equipment	Blanket contract	N
* Property, controlled (see controllable property)	John Morgan	Y
Radioactive materials and isotopes (see below on list)	EH&S	N
Radio Frequency Spectrum Dependent Devices (portable, mobile, microwave, CB's, family radio service, 2 way radios). Used for communication	Robert Ngim	N
Reactive chemicals (see below on list)	EH&S	Y
Real Property (land, buildings, lease, purchase or improvements)	Construction	N
* Recorders /CD, DVD, Dictating & Video/	Sensitive item	Y
Refrigerators	EH&S & SP 31.3	Y
Rentals (Not to Exceed 30 days, no terms and conditions)	Distributed Procurements Policy and Guidelines	Y
Reprints, Journal and Color Page Charges	Library	N
Respirators (See below note on dust masks)	EH&S	N
Restocking Fees	John Morgan	Y

ITEM	REFERENCE	DPU Y/N
Rigging Equipment	Facilities Crane/Elevator Office (Steve Wright) for purchase approval	N
Safety Shoes	EH&S	N
Safety Showers	EH&S	Y
SANR		N
Scales, Industrial (Calibration Certification requirements)		N
* Scanners for computers	Sensitive item	Y
* Sensitive Items (Cameras, Video Projectors, Printers, Recorders (CD, DVD, Dictating & Video), Scanners for Computers, Video Cameras (TV, Movie & Video), Personal Data Assistants (PDA's, iPod – hand held computers), Multi-Functional Office Equipment (printers, scanners, fax, copiers /all in one units/)	Sensitive item	Y
Services (on-site Berkeley Lab) see On-Site Services SP 28.2		Y
Servers (KST, Micron & Dell only)		Y
* Signs containing tritium	EH&S	Y
Slings	Facilities Crane/Elevator Office (Steve Wright) for purchase approval	N
Subscriptions – Scientific & Technical	Library	N
Telecommunications/Telephone Equipment (e.g. pagers, headsets, telephone, cell phones, cell phone providers, internet service providers, remote access services to Lab)	Richard Gregory	N



# RESTRICTED ITEMS LIST

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## SPECIAL TREATMENT ITEMS

Items marked with an asterisk (\*) may not be purchased using a PCard or a B2B Systems Contract and must be purchased using a purchase order.

**ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING**

### Miscellaneous Items

ITEM	REFERENCE	DPU Y/N
Towing	Blanket (Insurance Requirements)	N
* Trade-ins (must get prior approval from Property)	John Morgan	Y
Training Classes (on-site Berkeley Lab exception: if no industrial or chemical hands-on activity is required – see SP- 28.2)		Y
Training Classes (off-site if travel over 150 miles)	Jill Stark	N
Transportation	Facilities	N
Travel	Jill Stark	N

ITEM	REFERENCE	DPU Y/N
UC Regents Orders (Intra- University Transactions)		N
X-ray equipment including accessory devices	EH&S	Y
Vacuum cleaners HEPA Filtered and attached filtering	EH&S	Y
* Video Cameras – TV, Movie & Video	Sensitive item	Y
* Video Projectors portable	Sensitive item	Y
* Video Recorders	Sensitive item	Y
Wireless networking access points		N

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Drug Precursors

**Notification:** The following Drug Precursors may not be purchased with a PCard or B2B Systems Contract. They are subject to controls established by EH&S.

1,2-(Methylenedioxy)-4-(2-propenylbenzene) (#22)  
1,2-(Methylenedioxy)-4-(1-propenylbenzene) (#23)  
1-alpha-[1-(ethylmethylamino)ethyl]benzyl alcohol (#32)  
1-Ethylephedrine (#32)  
1-Phenyl-2-methylaminopropanol (#33)  
1-Phenyl-1-hydroxy-2-methylaminopropane (#33)  
1-Phenyl-2-keto-propane (#1)  
2,4,6-Trihydroxy-primidine (#9)  
2-Aminobenzoic Acid (#14)  
2-Carbomethoxy-3-tropanone (#21)  
2-Keto-3-phenyl-propane (#1)  
2-Methylamino-1-phenyl-1-propanol (#33)  
2-Methylethylamino-1-phenyl-1-propanol (#32)  
2-N-Acetyl-2-aminobenzoic Acid (#11)  
2-phenylacetic Acid (#13)  
3,4-(Methylenedioxy)-benzene - Any compounds with this in it. (#24)  
3,4-(Methylenedioxy)-5-benzaldehyde (#24)  
3-(2-aminoethyl)-indole (#27)  
4-[2-(Dimethylamino)-1-hydroxyethyl]-1,2-benzenediol (#31)  
9,10-didehydro-6-methylergoline-8-beta-carboxylic Acid (#4)

#### - A -

Adrenalin (#18)  
Aminobenzoic Acid - Any chemicals with this in it. (#14)  
Amino-benzyl alcohol (#18)  
Amino-N-acetylbenzoic Acid (#11)  
Anthranilamide (#14)  
Anthranilic Acid - Any chemicals with this in it, e.g. Anthranilic Ethyl Ester. (#14) **(CSA)**  
alpha-aminoethyl-3,4-dihydroxy-benzyl alcohol (#18)  
alpha-hydroxy-beta-methylaminopropylbenzene (#33)  
alpha-toluene cyanide (#29)  
alpha-tolunitrile (#29)  
alpha-(1-aminoethyl)-benzyl alcohol (#18)  
alpha-(3,4-Dihydroxyphenyl)-2-dimethylaminoethanol (#31)  
alpha-[1-Methylamino]ethyl]benzyl alcohol (#33)  
alpha-[1-Ethyl(methylamino)ethyl]benzenemethanol (#32)  
alpha-[1-(Methylamino)ethyl]benzenemethanol (#33)  
alpha-[(Dimethylamino)methyl]-3,4-dihydroxy benzylalcohol (#31)

#### - B -

Barbital (#9)  
Barbitone (#9)  
Barbituric Acid - Any chemicals listed with Barbituric Acid. (#9)  
Benzeneacetone nitrile (#29)  
Benzyl Cyanide (#29) **(CSA)**

Benzaldehyde **(CSA)**

Bromocryptin (#5)

#### - C -

Chloroephedrine (#33)  
Chloropseudoephedrine (#35)

#### - D -

Diethylmalonate (#6)  
Diethylmalonic Acid (#8)  
d-Lysergic Acid (#4)

#### - E -

Ephedrine **(CSA)**  
Ephedrine - Any chemical with this in it. (#33) **(CSA)**  
Ergo - Any chemical name with this in it, e.g. Bromo-alpha-ergocrypt. (#20)  
Ergo - Any compounds with this in it. (#30)  
Ergonovine Maleate (#30)  
Ergonovine and its salts **(CSA)**  
Ergot - Any chemical name with this in it, e.g. Bromo-alpha-ergocrypt. (#20)  
Ergotamine Tartrate (#5)  
Ergotamine and its salts **(CSA)**  
Ethyl Malonic Acid (#8)  
Ethylamine **(CSA)**  
Ethyl Malonic Acid (#8)  
Ethylamine  
Ethylmalonate (#8)  
etafedrine (#32)

#### - H -

Hexahydropyridine (#10)  
Hydriotic Acid **(CSA)**

#### - I -

Isosafrole (#23) **(CSA)**

#### - L -

LSD (#4)  
LSD-50 (#4)  
Lyserg- (followed by additional chemical names) (#4)

#### - M -

Malonic Acid Diethyl Ester (#6)  
Malonic Acid (#7)  
Menetryl (#32)  
Methylamine **(CSA)**

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Drug Precursors

Morpholine (#15)  
methylenedioxy- - Any chemicals with this in it. (#24)  
3,4 – Methylenedioxyphenyl 1-2-Propanone **(CSA)**

#### **- N -**

Nitroethane **(CSA)**  
Norephedrine (#18)  
Norpseudoephedrine (#18) **(CSA)**  
Norpseudoephedrine (#18)  
Novedrin (#32)  
N-Ethylephedrine (#32)  
N-Methyladrenaline (#31)  
N-Methylephedrine (#31) **(CSA)**  
N-Methylpseudoephedrine (#33) **(CSA)**  
n-Acetylanthranilic Acid (#11) **(CSA)**  
n-Ethylpseudoephedrine  
n-(1-phenethyl)-piperidine-4-one  
n-(1-phenethyl-4-piperidyl)-aniline

#### **- O -**

omega-cyanotoluene (#29)  
o-Aminobenzoic Acid (#14)

#### **- P -**

Phenylacetic Acid (#13) **(CSA)**  
Phenylacetone (#1)  
Phenylacetonitrile (#29)  
Phenylethylamine (#18)  
Phenylpropanolamine **(CSA)**  
Phenyl-2-propanone (#1)  
Phosphorous, red  
Piperidine-HCl or Piperidine-HBr (#10)  
Piperidine (#10) **(CSA)**  
Piperonal (#24) **(CSA)**  
Propanedioic Acid (#7)  
Pseudoephedrine **(CSA)**  
Pseudoephedrine - Any chemical with this in it. (#35)  
Propionic Anhydride **(CSA)**  
Pyrolidine (#12)

#### **- S -**

Safrole (#22) **(CSA)**  
Sulfurous Oxychloride (#28)

#### **- T -**

Tetrahydropyrrole (#12)  
Tetrahydro-1-4-oxazine (#15)  
Thionyl Chloride (#28)  
Thionylchloride (#28)

Tropan - Any chemicals with this in it (#21)  
Tropine (#21)  
Tropine - Any chemicals with this in it. (#21)  
Tropolone (#21)  
Tryptamine Hydrobromide (#27)  
Tryptamine Hydrochloride (#27)  
Trytamine (#27)

#### **- V -**

Veronal (#9)

# RESTRICTED ITEMS LIST

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## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Laboratory Safety Equipment

**Notification:** John Seabury ext. 6547

Acid storage cabinets

Biosafety cabinets

Chemical storage cabinets

Corrosive storage cabinets

Flammable storage cabinets

Freezers (for lab use)

Fume hoods

Gas cabinets

Glove boxes

Hoods (for ventilation)

Fume hoods

Laminar airflow hoods

Refrigerators (for lab use)

Safety showers

#### HEPA Filter Containing Devices

**Notification:** Betsy MacGowan ext. 2826

HEPA filters and HEPA filter devices

HEPA filtered vacuum cleaners

#### Respirators - Dust Masks

**Notification:** Betsy MacGowan ext. 2826)

Respiratory protection equipment is purchased and distributed by the EH&S Industrial Hygiene Group. Filtering face piece respirators, commonly known as dust masks, are a type of respiratory protection equipment and are classified as a restricted item. However, filtering face piece respirators may be purchased by employees submitting a requisition using a purchase order, in accordance with the procurement system's restricted items policy. **The requisition item category is Safety Equipment.**

Dust mask use is limited to employees who have completed EHS 0311 – Respirator Awareness Training (Dust Masks). For questions about dust masks contact and Industrial Hygienist or Betsy MacGowan at 495-2826.

#### Biological Agents and Biotoxins

**Approval:** Bruce King ext. 2768

**Restricted "Biological Agents and Biotoxins" include all agents and biotoxins listed below and all Risk Group 3 and 4 biological agents (not listed below).** "Agents" include the agent (i.e., organism) and all sub-units (e.g., genetic elements, recombinant nucleic acids) and strains (e.g., recombinant organisms) of the agents. If needed, risk group classifications for many infectious agents can be found at the American Biological Safety Association web page at <http://www.absa.org/resriskgroup.html> or sometimes the vendor web page (e.g., ATCC at <http://www.atcc.org/TechnicalInfo/HowToReviveCultures.cfm>).

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

<p><b>HHS NON-OVERLAP SELECT AGENTS &amp; TOXINS</b></p> <ul style="list-style-type: none"> <li>• Crimean-Congo haemorrhagic fever virus</li> <li>• <i>Coccidioides posadasii</i></li> <li>• Ebola viruses</li> <li>• Cercopithecine herpesvirus 1 (Herpes B virus)</li> <li>• Lassa fever virus</li> <li>• Marburg virus</li> <li>• Monkeypox virus</li> <li>• <i>Rickettsia prowazekii</i></li> <li>• <i>Rickettsia rickettsii</i></li> <li>• So. American haemorrhagic fever viruses <ul style="list-style-type: none"> <li>◦ Junin</li> <li>◦ Machupo</li> <li>◦ Sabia</li> <li>◦ Flexal</li> <li>◦ Guanarito</li> </ul> </li> <li>• Tick-borne encephalitis complex (flavi) viruses <ul style="list-style-type: none"> <li>◦ Central European tick-borne encephalitis</li> <li>◦ Far Eastern tick-borne encephalitis</li> <li>◦ Russian spring and summer encephalitis</li> <li>◦ Kyasanur forest disease</li> <li>◦ Omsk hemorrhagic fever</li> </ul> </li> <li>• Variola major virus (Smallpox virus)</li> <li>• Variola minor virus (Alastrim)</li> <li>• <i>Yersinia pestis</i></li> <li>• Abrin</li> <li>• Conotoxins</li> <li>• Diacetoxyscirpenol</li> <li>• Ricin</li> <li>• Saxitoxin</li> <li>• Shiga-like ribosome inactivating proteins</li> <li>• Tetrodotoxin</li> </ul>	<p><b>USDA HIGH CONSEQUENCE LIVESTOCK PATHOGENS AND TOXINS/ SELECT AGENTS (OVERLAP AGENTS)</b></p> <ul style="list-style-type: none"> <li>• Akabane virus</li> <li>• African swine fever virus</li> <li>• African horse sickness virus</li> <li>• Avian influenza virus (highly pathogenic)</li> <li>• Blue tongue virus (Exotic)</li> <li>• Bovine spongiform encephalopathy agent</li> <li>• Camel pox virus</li> <li>• Classical swine fever virus</li> <li>• <i>Cowdria ruminantium</i> (Heartwater)</li> <li>• Foot and mouth disease virus</li> <li>• Goat pox virus</li> <li>• Lumpy skin disease virus</li> <li>• Japanese encephalitis virus</li> <li>• Malignant catarrhal fever virus (Exotic)</li> <li>• Menangle virus</li> <li>• <i>Mycoplasma capricolum</i>/ M.F38/<i>M. mycoides capri</i></li> <li>• <i>Mycoplasma mycoides mycoides</i></li> <li>• Newcastle disease virus (VVND)</li> <li>• Peste Des Petits Ruminants virus</li> <li>• Rinderpest virus</li> <li>• Sheep pox virus</li> <li>• Swine vesicular disease virus</li> <li>• Vesicular stomatitis virus (Exotic)</li> </ul>
<p><b>HIGH CONSEQUENCE LIVESTOCK PATHOGENS AND TOXINS/ SELECT AGENTS (OVERLAP AGENTS)</b></p> <ul style="list-style-type: none"> <li>• <i>Bacillus anthracis</i></li> <li>• <i>Brucella abortus</i></li> <li>• <i>Brucella melitensis</i></li> <li>• <i>Brucella suis</i></li> <li>• <i>Burkholderia mallei</i> (formerly <i>Pseudomonas mallei</i>)</li> <li>• <i>Burkholderia pseudomallei</i> (formerly <i>Pseudomonas pseudomallei</i>)</li> <li>• Botulinum neurotoxin producing species of <i>Clostridium</i></li> <li>• <i>Coccidioides immitis</i></li> <li>• <i>Coxiella burnetii</i></li> <li>• Eastern equine encephalitis virus</li> <li>• Hendra virus</li> <li>• <i>Francisella tularensis</i></li> <li>• Nipah Virus</li> <li>• Rift Valley fever virus</li> <li>• Venezuelan equine encephalitis virus</li> <li>• Botulinum neurotoxin</li> <li>• <i>Clostridium perfringens</i> epsilon toxin</li> </ul>	<p><b>LISTED PLANT PATHOGENS</b></p> <ul style="list-style-type: none"> <li>• <i>Liberobacter africanus</i></li> <li>• <i>Liberobacter asiaticus</i></li> <li>• <i>Peronosclerospora philippinensis</i></li> <li>• <i>Phakopsora pachyrhizi</i></li> <li>• Plum Pox Potyvirus</li> <li>• <i>Ralstonia solanacearum</i> race 3, biovar 2</li> <li>• <i>Schlerophthora rayssiae</i> var <i>zeae</i></li> <li>• <i>Synchytrium endobioticum</i></li> <li>• <i>Xanthomonas oryzae</i></li> <li>• <i>Xylella fastidiosa</i> (citrus variegated chlorosis strain)</li> </ul>

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

<ul style="list-style-type: none"><li>• Shigatoxin</li><li>• Staphylococcal enterotoxin</li><li>• T-2 toxin</li></ul>	
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#### Class I Ozone Depleting Substances

**Notification:** Pat Thorson ext. 5852

Ozone depleting substances are found in adhesives, coating, inks, foams, aerosols, fire suppression and explosion protection, air conditioning and refrigeration, and solvent cleaning. The following are Class I, Ozone Depleting Substances:

Trade Name	Chemical Name & Synonyms – Trademark Names	Trade Name	Chemical Name & Synonyms – Trademark Names
<b>CFC-11</b>	<b>Trichlorofluoromethane [75-69-4]</b> Aigofrene Type 1; Arcton 9; Electro-CF 11; Eskimon 11; F11; FC 11; Fluorocarbon 11; Fluorotrichloromethane; Freon-11; Frigen 11, Genetron 11; Halocarbon 11; Halon 11; Isceon 131; Isotron 11; Kaltron 11, Khaladon 11; Ledon 11; Monofluorotrichloromethane, Propellent 11, Trichlorofluoromethane; Trichloromonofluoromethane	<b>CFC-112</b>	<b>1,2-Difluorotetrachloroethane [76-12-0]</b> 1,2-Difluoro-1,1,2,2-Tetrachloroethane; Fluorocarbon 112; Freon112, Halocarbon 112; Refrigerant 112; 1,1,2,2-Tetrachlorodifluoroethane; 1,1,2,2-Tetrachloro-1,2-Difluoroethane
<b>CFC-12</b>	<b>Dichlorodifluoromethane [75-71-8]</b> Algofrene Type 2; Arcton 6; Arcton 12; Difluorodichloromethane; Electro-CF12; Eskimon 12; F 12; FC 12; Fluorocarbon 12; Freon-12; Frigen 12; Genetron 12; Halocarbon 12; Halon 122, Isotron 2; Ledon 12; Propellent 12; R-12; Refrigerant 12; Refrigerant R12	<b>CFC-211</b>	<b>Heptachlorofluoropropane [422-78-6]</b> None
<b>CFC-113</b>	<b>1,1,2-trichloro- 1,2,2-trifluoroethane [76-13-1]</b> Chlorinated Fluorocarbon, Diflon S-3; FC 133; Freon 113; Freon TF (113); Frigen 113 TR-T; Fluorocarbon 113; Genetron 113; Halocarbon 113; Refrigerant 113; Trichlorotrifluoroethane; Trichloro 1,2,2-Trifluoroethane; Trichloro-1,2,2-Trifluoroethane, 1,1,2-; 1,1,2-Trichlorotrifluoroethane; 1,1,2-Trichloro 1,2,2-Trifluoroethane; 1,2,2-Trichlorotrifluoroethane; 1,1,2-Trifluorotrichloroethane; 1,1,2-Trifluoro-1,2,2-Trichloroethane	<b>CFC-212</b>	<b>Hexachlorodifluoropropane [3182-26-1]</b> None
<b>CFC-114</b>	<b>1,2-Dichlorotetrafluoroethane [76-14-2]</b> Cryofluorane; Dichlorotetrafluoroethane; 1,2-Dichloro-1,1,2,2-Tetrafluoroethane; Dichloro-1,1,2,2-Tetrafluoroethane; Fluorocarbon 114; Freon 114; Halocarbon 114; Halon 242; Propellant 114; R-114; Refrigerant 114; Refrigerant R114	<b>CFC-213</b>	<b>Pentachlorotrifluoropropane [2354-06-5]</b> None
<b>CFC-115</b>	<b>Monochloropentafluoroethane [76-15-3]</b>	<b>CFC-214</b>	<b>Tetrachlorotetrafluoropropane [29255-31-0]</b>

# RESTRICTED ITEMS LIST

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## SPECIAL TREATMENT ITEMS

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### EH&S – RELATED RESTRICTED ITEMS

			None
	Chloropentafluoroethane; Fluorocarbon 115; Freon 115; Genetron 115; Halocarbon 115; R-115; Refrigerant R115		
Halon 1211	Bromochlorodifluoromethane [353-59-3]	CFC-215	1,2,2-Trichloropentafluoropropane [1599-41-3]
	Chlorodifluorobromomethane		Trichloropentafluoropropane
Halon 1301	Bromotrifluoromethane [75-63-8]	CFC-216	1,2-Dichloro-1,1,2,3,3,3,- hexafluoropropane [661-97-2]
	Fluorocarbon 13B1; Freon 13B1; H-1301; Halocarbon 13B1; R-13B1, Refrigerant 13B1; Refrigerant R13B1; Trifluorobromomethane; Trifluoromethyl Bromide; Trifluoromonobromomethane		1,2-Dichlorohexafluoropropane
	1,2 Dibromotetrafluoroethane [124-73-2]		
Halon 2402	1,2-Dibromoperfluoroethane; Dibromotetrafluoroethane; 1,2- Dibromotetrafluoroethane; 1,2-Dibromo-1,1,2,2- Tetrafluoroethane; 1,1,2,2-Tetrafluoro-1,2- Dibromoethane	CFC-217	Heptafluoropropyl chloride [422-86-6]
			1-Chloro-1,1,2,2,3,3,3- Heptafluoropropane
CFC-13	Chlorotrifluoromethane [75-72-9]		Carbon tetrachloride [56-23-5]
	Halocarbon 13; Trifluoromethyl Chloride		Benzoinoform; carbona; Carbon Chloride; Carbon Tet; Flukoids; Methane Tetrachloride, Necatorina, Necatorine; Perchloromethane; Refrigerant R10, Tetrachlorocarbon, Tetraloromethane; Tetrafinol; Tetraform; Tetrasol, Univerm; Vermoestricid
			<b>1,1,1-Trichloroethane [71-55-6]</b>
CFC-111	Pentachlorofluoroethane		AerotheneTT; Alpha-Truchloroethane; Chlorothene; Chlorothene NU; Chlorothene VG; Methyltrichloromethane; Methyl Chloroform; 1,1,1-TCE; Solvent 111; Triethane;
	Fluoropentachloroethane		
			<b>Methyl bromide [74-83-9]</b>
			Brom-O-Gas; Brom-O-Gaz; Bromotmethane; Brom-O-Sol; Celfume, Curafume, Dowfume, Dowfume MC-2; Dowfume MC-33, EDCO; Embafume; Halon1001; Haltox; Iscobrome; Kayafume; MB; MeBr; Metafume; Methogas; Meth-o- Gas; Monobromomethane; Profume; Rotox; Terabol, Terr-O-Gas; Terr-O-Gas 100; Zytex

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Health Hazard and Reactive Gases

**Approval:** John Seabury ext. 6547

Ammonia (NH <sub>3</sub> )	Fluorine (F <sub>2</sub> )	Phosgene (COCl <sub>2</sub> )
Arsenic pentafluoride (AsF <sub>5</sub> )	Germanium tetrahydride (GeH <sub>4</sub> )	Phosphine (PH <sub>3</sub> )
Arsine (AsH <sub>3</sub> )	Hydrogen bromide (HBr)	Phosphorous pentafluoride (PF <sub>5</sub> )
Benzene in air	Hydrogen chloride (HCl)	Phosphorous trichloride (PCl <sub>3</sub> )
Boron trichloride (BCl <sub>3</sub> )	Hydrogen cyanide (HCN)	Phosphorous trifluoride (PF <sub>3</sub> )
Boron trifluoride (BF <sub>3</sub> )	Hydrogen fluoride (HF)	Selenium hexafluoride
Bromine pentafluoride	Hydrogen selenide (H <sub>2</sub> Se)	Silane (silicontetrahydride-SiH <sub>4</sub> )
Bromine trifluoride (BrF <sub>3</sub> )	Hydrogen sulfide (H <sub>2</sub> S)	silicon tetrachloride (SiCl <sub>4</sub> )
1,3-Butadiene (C <sub>4</sub> H <sub>6</sub> )	Iodine pentafluoride (IPF <sub>5</sub> )	Silicon tetrafluoride (SiF <sub>4</sub> )
Carbon monoxide (CO)	Methyl bromide (CH <sub>3</sub> Br)	Stibine (SbH <sub>3</sub> )
Carbonyl fluoride (COF <sub>2</sub> )	Methyl chloride (CH <sub>3</sub> Cl)	Sulfur dioxide (SO <sub>2</sub> )
Carbonyl sulfide	Methyl silane	Sulfur tetrafluoride (SF <sub>4</sub> )
Chlorine (Cl <sub>2</sub> )	Nickel carbonyl Ni(CO) <sub>4</sub>	Sulfuryl fluoride (SO <sub>2</sub> F <sub>2</sub> )
Chlorine trifluoride (ClF <sub>3</sub> )	Nitric oxide (NO)	Tellurium hexafluoride (TeF <sub>6</sub> )
Cyanogen (C <sub>2</sub> N <sub>2</sub> )	Nitrogen dioxide (NO <sub>2</sub> )	Tungsten hexafluoride (WF <sub>6</sub> )
Cyanogen chloride (ClCN)	Nitrogen trifluoride (NF <sub>3</sub> )	Vinyl chloride (C <sub>2</sub> H <sub>3</sub> Cl)
Diborane (H <sub>6</sub> B <sub>2</sub> )	Nitrosyl chloride (NOCl)	
Dichlorosilane (SiH <sub>2</sub> Cl <sub>2</sub> )	Oxygen difluoride (OF <sub>2</sub> )	

#### Reactive, Explosive & Unique Hazard Chemicals

**Notification:** Larry McLouth ext. 5286

2-Furaldehyde	Lithium
Beryllium	Rubidium
Boron	Sodium
Cesium	Phosphorous, yellow
Dichloroborane	Phosphorous, white
Francium	Picric acid
Lead: brick, sheet or block	Potassium



# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Chemicals Known to Possess Lethal or Incapacitating Toxicity

**Notification:** Larry McLouth ext. 5286

Amiton: O,O-Diethyl S-[2-(diethylamino)ethyl] phosphorothiolate and corresponding alkylated or protonated salts [78-53-5]  
O-Alkyl (H or <C10, incl. cycloalkyl) S-2-dialkyl(Me, Et, n-Pr or i-Pr)-aminoethyl alkyl (Me, Et, n-Pr or i-Pr) phosphonothiolates and corresponding alkylated or protonated salts  
O-Alkyl (<C10, incl. cycloalkyl) alkyl (Me, Et, n-Pr or i-Pr)-phosphonofluoridates  
O-Alkyl (<C10, incl. cycloalkyl) N,N-dialkyl (Me, Et, n-Pr or i-Pr) phosphoramidocyanidates  
Sarin: O-Isopropyl methylphosphonofluoridate [107-44-8]  
Soman: O-Pinacolyl methylphosphonofluoridate [96-64-0]  
Tabun: O-Ethyl N,N-dimethyl phosphoramidocyanidate [77-81-6]  
VX: O-Ethyl S-2-diisopropylaminoethyl methyl phosphonothiolate [50782-69-9]

#### **Sulfur mustards:**

2-Chloroethylchloromethylsulfide [2625-76-5]  
Mustard gas: Bis(2-chloroethyl)sulfide [505-60-2]  
Bis(2-chloroethylthio)methane [63869-13-6]

#### **Sesquimustard:**

1,2-Bis(2-chloroethylthio)ethane [3563-36-8]  
1,3-Bis(2-chloroethylthio)-n-propane [63905-10-2]  
1,4-Bis(2-chloroethylthio)-n-butane [142868-93-7]  
1,5-Bis(2-chloroethylthio)-n-pentane [142868-94-8]  
Bis(2-chloroethylthiomethyl)ether [63918-90-1]

#### **O-Mustard:**

Bis(2-chloroethylthioethyl)ether [63918-89-8]

#### **Lewisites:**

Lewisite 1: 2-Chlorovinylchloroarsine [541-25-3]  
Lewisite 2: Bis(2-chlorovinyl)chloroarsine [40334-69-8]  
Lewisite 3: Tris(2-chlorovinyl)arsine [40334-70-1]

#### **Nitrogen mustards:**

HN1: Bis(2-chloroethyl)ethylamine [538-07-8]  
HN2: Bis(2-chloroethyl)methylamine [51-75-2]  
HN3: Tris(2-chloroethyl)amine [555-77-1]  
Saxitoxin [35523-89-8]  
Ricin [9009-86-3]  
Alkyl (Me, Et, n-Pr or i-Pr) phosphonyldifluorides  
DF: Methylphosphonyldifluoride [676-99-3]  
O-Alkyl (H or <C10, incl. cycloalkyl)  
O-2-dialkyl(Me, Et, n-Pr or i-Pr)-aminoethyl alkyl(Me, Et, n-Pr or i-Pr) phosphonites and corresponding alkylated or protonated salts

QL: O-Ethyl O-2-diisopropylaminoethyl methylphosphonite [57856-11-8]  
Chlorosarin: O-Isopropyl methylphosphonochloridate [1445-76-7]  
Chlorosoman: O-Pinacolyl methylphosphonochloridate [7040-57-5]  
PFIB: 1,1,3,3,3-Pentafluoro-2-(trifluoromethyl)-1-propene [382-21-8]  
BZ: 3-Quinuclidinyl benzilate (\*) [6581-06-2]  
Chemicals containing a phosphorus atom to which is bonded on a methyl, ethyl or propyl (normal or iso) group but not further carbon atoms  
Methylphosphonyl dichloride [676-97-1]  
Dimethyl methylphosphonate [756-79-6]  
Exemption: Fonofos: O-Ethyl S-phenylethylphosphonothiolothionate [944-22-9]  
N,N-Dialkyl (Me, Et, n-Pr or i-Pr) phosphoramidic dihalides  
Dialkyl (Me, Et, n-Pr or i-Pr) N,N-dialkyl(Me, Et, n-Pr or i-Pr)-phosphoramidates  
Arsenic trichloride [7784-34-1]  
2,2-Diphenyl-2-hydroxyacetic acid [76-93-7]  
Quinuclidin-3-ol [1619-34-7]  
N,N-Dialkyl (Me, Et, n-Pr or i-Pr) aminoethyl-2-chlorides and corresponding protonated salts  
N,N-Dialkyl (Me, Et, n-Pr or i-Pr) aminoethane-2-ols and corresponding protonated salts  
Exemptions: N,N-Dimethylaminoethanol and corresponding protonated salts [108-01-0]  
N,N-Diethylaminoethanol and corresponding protonated salts [100-37-8]  
N,N-Dialkyl (Me, Et, n-Pr or i-Pr) aminoethane-2-thiols and corresponding protonated salts  
Thiodiglycol: Bis(2-hydroxyethyl)sulfide [111-48-8]  
Pinacolyl alcohol: 3,3-Dimethylbutan-2-ol [464-07-3]  
Phosgene: Carbonyl dichloride [75-44-5]  
Cyanogen chloride [506-77-4]  
Hydrogen cyanide [74-90-8]  
Chloropicrin: Trichloronitromethane [76-06-2]  
Phosphorus oxychloride [10025-87-3]  
Phosphorus trichloride [7719-12-2]  
Phosphorus pentachloride [10026-13-8]  
Trimethyl phosphite [121-45-9]  
Triethyl phosphite [122-52-1]  
Dimethyl phosphite [868-85-9]  
Diethyl phosphite [762-04-9]  
Sulfur monochloride [10025-67-9]  
Sulfur dichloride [10545-99-0]  
Thionyl chloride [7719-09-7]  
Ethylthiolanamine [139-87-7]

## **RESTRICTED ITEMS LIST**

October 2006

### **SPECIAL TREATMENT ITEMS**

**ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING**

### **EH&S – RELATED RESTRICTED ITEMS**

Methyldiethanolamine [105-59-9]

Triethanolamine [102-71-6]

# RESTRICTED ITEMS LIST

October 2006

## SPECIAL TREATMENT ITEMS

ALL ITEMS ON THE RESTRICTED ITEM LIST ARE RESTRICTED FROM B2B BUYING

### EH&S – RELATED RESTRICTED ITEMS

#### Radioactive Materials and Isotopes

**Notification:** Steve Sohner ext. 6228

Deuterium Gas (D2)  
Heavy water (D2O)  
Chemicals containing radionuclides including  
Tritium [H-3]  
Natural uranium [u]  
Depleted uranium, enriched uranium  
Thorium [Th]  
Protactinium [Pa]  
Transuranics [atomic number greater than 92]  
Radioactive sealed sources  
201-Thallium  
Instruments and articles containing radioactive sealed sources  
Special nuclear material (SNM) including  
Gas chromatographs with electron capture devices  
Liquid scintillation counters  
Neutron moisture probes (Hydroprobe)  
Neutron soil density gauge  
Signs containing tritium  
Static eliminators  
Uranyl nitrate  
Uranyl acetate  
Thorium acetate  
Thorium nitrate  
Neutron soil density gauge  
Aerosol neutralizers  
Plutonium  
Uranium-233 or,  
Uranium enriched in the isotopes uranium-233 or uranium-235

#### Equipment Generating Laser, Radiowave, Microwave and Ionizing Radiation

**Notification:** Larry McLouth ext. 5286

Class 3 and 4 lasers  
Microwave sources (excluding consumer products such as microwave ovens)  
Radiowave sources

#### X-Ray Sources and Equipment

**Approval:** Robert Fairchild ext. 2278

X-ray sources and equipment including accessory devices

## **SOFTWARE**

DPU Cardholders shall not initiate a PCard order for any software licenses, maintenance or upgrades agreements requiring LBNL signature or acceptance of merchant terms and conditions.

DPU Cardholders shall not initiate a PCard order for any software modifications, custom software programs, or incidental services for custom software programs. These orders must be processed by Computing Science Subcontract Group.

Note: "Shrink-wrap" and "Click wrap" software may be purchased using PCard, including any associated upgrades that do not require LBNL signature or acceptance of merchant terms and conditions.

## **HARDWARE MAINTENANCE**

DPU Cardholders shall not initiate a PCard order for any hardware maintenance agreements requiring LBNL signature or acceptance of merchant terms and conditions.

## **OFF-SITE TRAINING**

Off-site training is allowed on the Procurement Card as long as it is within 150 mile radius.

## **UNALLOWABLE COSTS**

DPU Cardholders shall not initiate PCard orders for goods or services that are unallowable under LBNL's Prime Contract with the Department of Energy (DOE) Contract DE-AC02-05CH11231 in accordance with Procurement Standard Practices 31.3 "Unallowable Costs". Examples of unallowable costs include, but are not limited to the following:

- Advertising and public relations costs (Certain advertising is allowable but special procedures apply and must be processed by HR, TEID and/or Public Relations);
- Sales tax
- Insurance
- Entertainments costs;
- Alcoholic beverages;
- Gifts; and
- Personal or luxury items that do not meet the test of business necessity.

If there is any question about the allowability of a cost, the DPU Cardholder shall consult with the DPU Manager or DPU Team Leader.

## **UNAUTHORIZED PROCUREMENTS**

- A. An unauthorized procurement is an order processed by unauthorized personnel. Examples include, but are not limited to the following:
  1. Ordering prior to a requisition being entered and approved in ePro;
  2. Placing a PCard order exceeding delegated authority;
  3. Splitting an order to circumvent the DPU Cardholder limits; and

4. Processing a payment or order for a purchase initiated by an individual other than a DPU Cardholder.

Note: All questions regarding the determination of an unauthorized procurement should be directed to the DPU Manager or DPU Team Leader.

- B. All unauthorized procurements shall be processed in accordance with LBNL Procurement Standard Practice (SP) 1.3, "Ratification of Unauthorized Commitments".

## **CHOOSING THE APPROPRIATE METHOD OF ACQUISITION**

The Laboratory has established a full range of acquisition systems (e.g., Stores, System Contracts, Blanket Orders, etc.) to enable requesters to acquire materials and services in the most cost effective means possible. The Procurement Card Program is designed to supplement these systems. For information regarding Stores items call X5087. For information regarding Procurement Business to Business (B2B) System Contracts, Blankets and other Procurement contracts call the Procurement Information line at X4571 or visit the Procurement Web Site at <http://procurement.lbl.gov>.

## **DETERMINING WHERE TO BUY MATERIAL**

Many of your requests for purchase will have suggested sources of supply and have historical prices and merchant names. "The Berkeley Lab Procurement Card Supplier List", lists popular merchants, existing contracts and special pricing. Updates to the list can be found on the Procurement web-site, <http://procurement.lbl.gov> under "reference library." Additional potential sources of supply can be found in the Telephone Yellow Pages and free trade publications (ex. "The Electronic Source Book" lists manufacturers and merchants of electronic parts and components).

Another popular source of supply is the "Thomas Register" which provides information by commodity or manufacturer. You can access the "Thomas Register" on the Procurement Web site (<http://procurement.lbl.gov>). By selecting "The Procurement Library," and then select "Thomas Register." Other Procurement Staff Employees are also available to suggest sources of supply and are listed on the Procurement Web site (The Procurement Reference Library/Procurement Staff Assignments), or by calling Procurement Information at X4571.

It is the Laboratory's policy to utilize, small disadvantaged, and woman-owned business concerns to the maximum extent practical, consistent with requisition requirements and at prices that are considered reasonable.

## **EMPLOYEE CONNECTED FIRMS**

To avoid conflicts of interests, or the potential appearance of conflicts of interest, PCard orders must not be issued to firms listed on the Employee Vendor List located on the Procurement Web site (reference library) without prior written approval by the DPU Manager. Approvals must be documented and maintained with the PCard order file. See LBNL Procurement Standard Practices (SP) 3.4 Personal Conflicts of Interest. Approvals must be documented and maintained with the PCard order file. To assist in this review, the DPU Cardholder must provide the DPU Manager with the following information:

- A description of what is to be purchased;
- The total estimated amount of the purchase;
- Project ID number assigned to the purchase;
- Name, building, room number, and employee number of the person receiving the goods or services;
- Certification that the “requestor” is a “researcher” and the good or service will be used solely on a research project;
- Sole Source Justification; and
- Name and location (city and state) of the supplier.

## **RENTALS**

Rental of equipment that **does not** require signature of a rental agreement and is used in non-hazard applications may be acquired with a PCard order, if not otherwise restricted or excluded herein or on the Restricted Items, Chemicals and Gases List. The total rental period must not exceed thirty (30) days. When placing orders for rentals, DPU Cardholder must pay sales tax. DPU Cardholder must enter a line item in the PCard software as sales tax and the price.

## **SALES TAX – RESALE NON-TAXABLE ORDERS**

Generally, all items purchased with PCard are non-taxable, for resale to the Federal Government under our UC/DOE contract. An exception is rental equipment, which is subject to tax. Remember to tell the merchant not to charge tax, as we hold a **California Resale Certificate (Permit No. SR CH 21-835970)**. If you have additional problems with a merchant contact the DPU Coordinator. If your paperwork shows that the merchant has charged tax when they should not have, tell them they must credit your Visa account. **Under our contract with the University, TAX is considered an unallowable expense and must be recovered at all times.** Examples of tax exempt items are as follows:

- Common material and services;
- Machinery and equipment; etc.

It is the supplier’s responsibility to either pay sales tax or show that an exemption applies. A supplier may request LBNL to provide a Resale Certificate sufficient to satisfy their exemption requirement. Generally, LBNL provides the Resale Certificate form which is available in the Exhibits. If a DPU Cardholder is requested to sign a supplier’s Resale Certificate when picking up material from a supplier (will call), a DPU Cardholder may sign the supplier’s Resale Certificate only if it does not contain any terms and conditions.

Generally, sales tax is not applicable to shipping and handling or delivery charges.

It is the DPU Cardholder’s responsibility to initiate the recovery of all erroneously charged sales tax.

## **REASONABLENESS OF PRICE**

For most procurement card purchases, the price will be considered reasonable based on the fact that it is a commercially available item. Competitive quotations are not required. If you are uncomfortable with a quoted price, you may question the request, check another source, or question the merchant regarding the quoted price. Verify prices that seem too high or too low - the merchant could have made an honest error! Remember, if you are unsure of the price, you do not have to place the order.

In order to get the best price possible from a merchant, you should inquire about the availability of discounts or special pricing, and try to ensure that the price you pay is fair and reasonable. Refer to the next section for more information regarding discounts. Ask yourself the following questions to help aid you in the determination if a price is fair and reasonable:

- Are you, or someone in your group knowledgeable of the product, material or services and what it should cost?
- Is it supported by a catalog or advertised price?
- Would you be willing to pay the price quoted if the money you were spending was your own?
- Do the circumstances of the transaction (e.g., time, schedule) justify paying a higher price?
- Do you believe that the transaction/purchase is a good deal for the Laboratory and/or the Government?

If you have questions call the DPU Manager or DPU Team Leader for assistance.

## **DISCOUNTS**

Merchants may offer a discount from the purchase price because of LBNL association with the University, State or Federal Government. Be aware of the discount and **ask for them**. The most common discounts are Government Services Administration (GSA) and University (UC) discounts. The merchant will know whether or not they provide a GSA or UC discount but you must inform them that LBNL is eligible for such discounts. Ask if the price includes the discount or if you must subtract a certain percentage. The "Berkeley Lab Procurement Card Supplier List," lists the specific merchants that are known to have a specific discount or contract pricing. Another popular type of discount is the "Educational" or "Academic" discount. Many times the Laboratory can take advantage of this discount, depending on the merchant's designation. For example, many software houses offer an academic discount that, depending on the software, can almost be half the list price.

If the merchant has traditionally offered a prompt payment discount (e.g., 2% 30 Days), ask if they will roll it into the purchase price.

## **REBATES**

A merchant or manufacturer in the course of a procurement card purchase may offer rebates, typically monetary checks. All rebates obtained as a result of procurement card buying are the property of the Berkeley Lab. DPU Cardholders, not requesters or others, are responsible for requesting the rebate from the merchant or manufacturer and

forwarding it to the DPU Coordinator for processing. DPU Cardholders are to follow the instructions listed below:

- In the PCard software order, list the rebate information as a separate line item with \$0.00 as the line item price, or in the “Comments” field of the order. The actual dollar amount of the rebate should be noted in the comments field of the PCard order.
- Request for the merchant/manufacturer to list the payee as “The Regents of the University of California.” If the merchant/manufacturer stipulates that they must list you, the DPU Cardholder as the payee, then, in turn, write a check payable to The Regents of the University of California. The Lab cannot accept third party checks. DPU Cardholder must request for the merchant to mail the check to your Laboratory address.
- Upon receipt of the rebate check forward it to the attention of the DPU Coordinator (mail-stop 937R0200). Include your PCard order number and the Laboratory project id (account no.) that is to be credited, also note on your PCard order in the software that you have received the rebate check and have sent it to the DPU Coordinator, and the date you sent it.
- DPU Coordinator will note the rebate information and forward it on to Accounts Payable for processing. Do not send rebate checks directly to Accounts Payable.

If you have questions regarding the above procedures contact DPU Coordinator or DPU Manager.

### **LBNL STORES STOCK ITEMS**

Small inventories of commonly used products are maintained at LBNL as Stores Stock Items. These items are acquired by Inventory Management and offer a substantial cost and time savings. DPU Cardholders are not to purchase material to replenish LBNL stores stock on the PCard, orders should be placed on PeopleSoft.

### **ITEMS OF FOREIGN ORIGIN**

Approval to purchase a foreign end product over \$2,500 must be obtained from the DPU Manager or DPU Team Leader in accordance with Procurement Standard Practices 25.1 “Buy American Act and Balance of Payment Program”. To receive approval, DPU Cardholder must complete the form “Request for Determination – Supplies of Foreign Origin,” located in the Exhibits of this policy and guidelines, and submit it to the attention of the DPU Manager or DPU Team Leader (fax #4380, Mail Stop 937R0200).

All procurements of products (i.e., goods, items, supplies, and construction materials) must meet the government requirements of the Buy American Act and the Balance of Payments Program (SP 25.1), e.g., they must be “domestic end products” unless an exemption (listed below) applies. The Buy American Act applies to products that are for use in the United States; the Balance of Payments Program applies to products that are for use outside of the United States. These instructions apply to both types.

Foreign end products may be purchased if the value of the end product is \$2,500 or less.



*Foreign end products over \$2,500 may be purchased with LBNL DPU Manager or DPU Team Leader approval, if one of the following exemptions applies:*

- a. A domestic end product is not available (e.g., either it is listed in the government Federal Acquisition Regulation (FAR 25.104, Non-available Articles), or is determined to be domestically unavailable through market research); or
- b. The price of the domestic end product is unreasonable (more than 6% if the domestic source is a large business, or more than 12% if the domestic source is a small business).

Contact the DPU Manager or DPU Team Leader if you have questions regarding this regulation.

### **MATERIAL SAFETY DATA SHEETS (MSDS)**

Material Safety Data Sheets are to be requested to be sent with chemicals and other appropriate substances so that users may follow the necessary precautions. Call EH&S at X5286 if you have questions regarding MSDS's.

### **CHEMICALS AND HAZARDOUS MATERIALS**

Only certified LBNL employees are authorized to transport chemicals and hazardous materials.

Chemicals and hazardous materials may not be picked up from or hand carried to a supplier. Chemicals and hazardous materials must be shipped to Central Receiving, Bldg. 69.

### **PLACING ORDERS ON THE INTERNET**

You can place orders using your PCard over merchant Web sites when the merchant has a secure area for entering credit card information (card number and expiration date). Here is how to identify if a Web page is secure:

When you are on a web page which asks for your PCard order information, look at the security symbol in your browser's status bar (bottom of the browser). To indicate a secure page, Netscape Navigator's has an unbroken Key, Netscape Communicator and Microsoft Internet Explorer have a closed Padlock. Secure pages can also be identified by a Web address which begins with https:// instead of the normal http://. On secure sites the ordering page address changes to "https".

Additional things to consider when ordering on the Web:

**Do not place an order if the merchant's ordering page is not secure!**

**Order only from known, reputable merchants!**

**Make sure the merchant's ordering page allows you to specify that your Lab PCard order is non-taxable, or you can be assured that tax will not be charged.**

**Do not place an order if you cannot prevent tax from being charged, place a phone order with the merchant.**

Print off a copy of your order before you submit it, and print follow-up order acknowledgements that appear on your screen or sent via your e-mail address.

Promotional items, prizes from contests, etc. are to be declined for ethical reasons.

### **ON SITE SERVICE ORDERS – WHAT CAN AND CANNOT BE PLACED ON PCARD**

In an effort to streamline the processing of on-site services and repairs, DPU Cardholders can process certain common, designated on-site services and repairs in *non-hazardous* areas that were previously handled by Commercial Procurement Groups. Procurement, the Laboratory Risk Manager, legal counsel and DOE have determined some on-site services are of such low risk that verification of the merchant's insurance (certificates of insurance, etc.) is no longer required when performed in a non-hazardous work area, and the contracted service is less than a designated dollar amount. The "Designated Commercial Services" list, located in the Exhibits of this Distributed Procurements Policy and Guidelines, list the low risk on-site services that can be placed by DPU Cardholders in non-hazardous work areas.

An estimated cost for the repair should be included in the ePro request. In some cases prior consideration should be made between costs to repair versus replacement. As on all procurement card/low value orders, the DPU Cardholder is the only person authorized to place the on-site order with the merchant. Please note: As evidence of the repair work performed, DPU Cardholder will have to inform the requester that they will have to monitor repairs carefully to ensure services are completed. The requester must inform central receiving that services are complete. The service repair paperwork is the paperwork provided by the merchant at the time the work has been completed, as documented proof that the service/repair has been done. A copy is to be kept by the DPU Cardholder in their file. All construction related on-site work (fencing, roofing, carpet, window replacement, painting, etc.) and on-site services in hazardous areas are restricted from procurement card and low value buying and are to be processed by Commercial & Fabrication Team, or Construction Group.

The following is a list of some of the common on-site services that can now be placed by DPU Cardholders under their order limits, in non-hazardous areas:

*Pipette repairs, vacuum pump repairs and small office equipment repair or maintenance.*

The following are some of the on-site services that are still restricted from DPU Cardholder and low value buying due to the hazardous nature: Crane and elevator maintenance and all construction related services. In addition, activities performed in nuclear, radiological or hazardous facilities or facilities that generate airborne hazards or pollutants are restricted from PCard and low value buying.

As with all procurement card purchases the authority is given with the understanding that the DPU Cardholder will secure the concurrence of the DPU Manager or DPU Team Leader, prior to committing the Laboratory to any procurement not clearly authorized or which appears not to be in the best interest of the Berkeley Lab or the Government.

## **FOB POINT AND SHIPPING AND HANDLING CHARGES**

If the Laboratory pays for the freight, the transportation and handling charges are to be included in the invoiced amount (exception: Federal Express GSA rates on shipments - see "Air Freight Shipments"). You will want to ask what the shipping/handling charges will be, and call out the specifics, especially for risk of loss purposes. In addition, time constraints may dictate a special delivery method. Contact the DPU Coordinator if you have a merchant who wants to charge you a credit card processing fee. If you find this out after the fact, contact the DPU Coordinator, who will work to get the charge recovered.

In Procurement the term "FOB" is used when determining where "title" (legal responsibility for material) passes from merchant to buyer and the payment of freight. "FOB" is a shipping term which actually means "Free on Board," and is always used in conjunction with a named City and State to determine the point at which title for the goods passes to the buyer (in our case, the Lab). **"FOB Destination" (Berkeley Lab)** is the safest method to ensure that any risk of loss or damage is borne by the merchant, and should be requested whenever possible. In this case, the risk is borne by the merchant until the material arrives at our dock.

The other reference that "FOB point" is used in conjunction with, is in determination of who pays the freight. Although "FOB Destination" usually implies that the merchant pays for the freight, the shipment may be requested as destination, just for risk of loss or damage purposes, with you indicating that the merchant may still bill the Laboratory for the freight (FOB Destination - Freight Prepaid and Added). This is not at all uncommon. If you have questions call the DPU Manager or DPU Team Leader.

For local shipments, the preference is UPS prepaid. For air shipments, make sure the air freight charges are part of the merchant's invoice price and will not be invoiced separately by the air freight forwarder. An exception is made when using the GSA rates of Federal Express. See the section on Air Freight Shipments for more information.

The following items are meant to help you keep in mind some of the questions to ask yourself and the merchant in regards to "title" and shipping considerations:

- Who pays the freight?
- What is the least-cost transportation method? (keep in mind the weight of the material)
- Who owns the material at what point, and who is responsible for loss or damage once the order has shipped?
- Shipping costs must be listed as a line item in the PCard software.

### **The following are some of the most frequently used variations of FOB terms:**

#### **FOB Buyer's Plant (FOB Destination): (Merchant prepays the freight)**

The legal title passes from the merchant to the buyer when the carrier delivers the material to the buyer's plant. The merchant retains ownership during transit, has the right to select the carrier and has the responsibility to pay the freight. Under this term the merchant is accountable for loss or damage while the purchase is being transported. The merchant is also responsible for filing any possible freight claims with the carrier.

**FOB Merchant's Plant (FOB Shipping Point): Merchant ships collect - Buyer takes legal responsibility at Merchant's door and Buyer pays freight charges**

The legal title passes from the merchant to the buyer when the carrier picks up the freight from the merchant. The buyer retains ownership during transit, assumes the responsibility for payment of the freight and has the right to select the carrier. Under this term the buyer is accountable for loss or damages or filing any possible freight claims.

**FOB Merchant's Plant, Freight Allowed (FOB Shipping Point - Freight Allowed) Merchant pays the freight charges and Buyer takes legal responsibility at Merchant's Door**

The legal title passes from the merchant to the buyer when the carrier picks up the freight, but the merchant agrees to pay for the freight charges. Under this term the buyer is accountable for loss or damages or filing any possible freight claims.

**Remember, merchants are not to charge a special "handling charge" for processing Visa purchases. This is a direct violation under the contract they have signed with Visa and is considered an unallowable cost under our contract with the University. You cannot place an order with such a merchant under these circumstances.**

**DELIVERY POINTS**

When placing your procurement card purchase it is very important to give the merchant the correct and complete shipping address. Incomplete shipping address's can cause delays in material reaching your requesters and also causes additional work for Central Receiving personnel who must determine the correct internal Lab address to forward the package to.

DPU Cardholder must instruct the supplier to ship uninsured and to clearly label the package on the outside with the following information:

It is the DPU Cardholder's responsibility to instruct the merchant to label packages properly. Packages must be identified with the following information clearly visible on the outside of the box to ensure proper delivery. For all UPS, FED-X and any other air freighted orders use the following ship to address:

<b>Lawrence Berkeley National Laboratory</b>
<b>One Cyclotron Rd. XXXXXX (<i>this is the PCard order number only, not location, not requestor name</i>)</b>
<b>Building 69 Central Receiving</b>
<b>Berkeley, CA 94720</b>

DPU Cardholders shall instruct the supplier not to label packages with any additional information other than that listed above. Failure to properly label a package may result in delivery delay.

Procurement card and traditional purchase order deliveries have first priority and are worked first by Central Receiving. It's very important to have the merchant list the PCard order number so Central Receiving can receive the material in the PCard database and

hand off the material to our Transportation group for delivery to the requester. Also have the merchant list your PCard order number on the shipping label and the packing slip.

**Note: All material must be delivered to Building 69 Central Receiving. Central Receiving will enter all items received into the PCard software thus eliminating requesters sending packing slips to DPU cardholders for documentation/verification of receipt of material.**

Material returns should be directed to the LBNL Shipping Department along with the required Lab shipping document.

**DPU Cardholders are not to have material shipped to personal residences. For delivery of material to locations other than LBNL Central Receiving contact the DPU Manager or DPU Team Leader for review and written approval prior to placing the order.**

### **U.S. MAIL**

Small packages may also be received via U.S. mail. Packages sent through the mail will be directed to Central Receiving to enter items into the PCard Software.

### **AIR FREIGHT SHIPMENTS**

#### **GSA/Federal Express Air Freight Contract**

The Lab receives a considerable reduction in freight charges by using the GSA Federal Express rates. In order to obtain these rates the Lab is billed directly by Federal Express. If the DPU Cardholders are paying the air freight on an order ask the merchant if they use Federal Express. To use the GSA/Federal Express contract, give the merchant **the Division/Department's Federal Express account number for the PCard order**. Give the merchant the ship to address, Lawrence Berkeley National Laboratory, One Cyclotron Road, and the PCard order. Also, indicate to the merchant that they must tell Federal Express to put the following information on the Federal Express waybill and reference Shipping, Bldg. 69:

1. Lawrence Berkeley National Laboratory
2. PCard order number
3. The Lab project number (acct. no.) to be charged

Federal Express will automatically send the bill to Accounts Payable. When using the GSA/Federal Express contract, the Lab project number to be charged must appear on the Federal Express waybill in order for Accounts Payable to debit the freight charges to the correct Lab project number. If a Lab project number is not listed on the Federal Express waybill, the divisional/department default project number tied to the Federal Express account number will be charged.

## **PICKING UP MATERIAL**

Occasionally a DPU Cardholder or requester will want to pickup material at the merchant's place of business. If the DPU Cardholder has someone pick up the material the person should never sign as the cardholder on any bank card paperwork. Acknowledgment of pick-up/receipt of material should be done on the packing slip which should also be provided and forwarded to Central Receiving, building 69.

## **PROPERTY MARKING AND TAGGING – COMPUTER RESTRICTION:**

Computers and Laptops (KST, Micron computers and Dell laptops purchased on the B2B System Contract only) as listed on the Restricted Items List are considered "suitable for marking" at Berkeley Lab in accordance with Procurement Standard Practices 45.1 "Government Property". When computers are received by Central Receiving they will have the computers Property Tagged.

## **RETURNS / SHIPPING DOCUMENTS / INCORRECT MATERIAL / DAMAGES**

### **ERROR, OVER-SHIPMENTS AND DAMAGES**

Items purchased in error, over-shipments and damages must have a shipping document for return to the merchant. A sample shipping document is attached (see Exhibits). The 8-part Shipping Document form is a Stores stock item, catalog no. 7600-55567. To obtain forms, call Stores at X5087. Call the merchant promptly to resolve returns, incorrect purchases and damages. Usually the responsible party will pay for the return shipment. The shipping document shows three choices. If the merchant is to pay, they may request you to ship the item collect or request that you pay, and then credit your account. **All material that leaves the Laboratory must have a Shipping Document included with the material.**

After filling out the Shipping Document take or send the material to Shipping (Bldg. 69, X5084) for proper packaging and shipment or call Transportation (X5404) for pick-up and delivery to Shipping. If you are returning material via the Shipping Dept., it is recommended that for tracking purposes, you call them for a shipping document number to put on the Shipping Document. Copies of the Shipping Document(s) must be maintained with DPU Cardholder PCard order.

For damages, save the original packaging and call the merchant. They may choose to just replace the item, or Berkeley Lab may have to file a shipping claim. If you must file a claim, please call the DPU Manager or DPU Team Leader for assistance.

### **RETURNS AND THE SHIPPING DOCUMENT**

If a DPU Cardholder needs to have an item repaired or needs to return an item to the merchant for any reason, the DPU Cardholder must complete a "Berkeley Lab Shipping Document" as outlined under the "General Procurement Instructions" section. An example of the Shipping Document is shown in the Exhibits. Copies of the shipping documents must be maintained with DPU Cardholder records. When returning material many merchants assign a "Return Material Authorization" (RMA) or "Return Authorization" (RA) number to the return and will ask you to reference it on the Shipping Document. If the material is ever lost in shipping or by the merchant, the shipping document is evidence of receipt of material by the carrier or merchant.

## **RESTOCKING CHARGES**

Restocking charges are allowable if LBNL requires the return of an item that is in conformance with the order but LBNL's requirement has changed, or it is otherwise necessary to return the item(s) to the supplier and only if the restocking charges are reasonable in price.

Restocking charges must be approved prior to the return by the Property Manager (see Procurement website – Forms Cabinet).

## **REPLACEMENT, EXCHANGE, TRADE-IN AND UPGRADE OF CONTROLLED OR SENSITIVE PROPERTY**

DPU Cardholders shall not initiate a PCard order to exchange, trade-in or upgrade previously acquired property without prior approval by the Property Manager (see Procurement website – Forms Cabinet).

## **BILLING/PAYMENT/CYCLE**

The Laboratory's Accounts Payable pays the bank by summary daily. US Bank completes their record-keeping cycle on the 17<sup>th</sup> of each month. DPU Cardholder's cyclical limits are reset to zero on the 18<sup>th</sup> of the month.

## **MERCHANT REQUESTS FOR A WRITTEN PURCHASE ORDER**

If a merchant requires a written purchase order (not a fax request), the order cannot be placed as a procurement card order. The order must be placed under the standard purchase order (PeopleSoft). If you have questions, call the DPU Manager or DPU Team Leader.

## **TRANSACTION AUTHORIZATION**

The DPU Cardholder should request that the merchant process the bank authorization as soon as possible. **Merchants must not process the purchase transaction until the material has been shipped.**

Note: If the merchant insists on processing the authorization and purchase transactions together, both transactions must not occur until the material is shipped.

## **DUPLICATE TRANSACTION RECORD REQUEST**

To obtain a copy of the Bank's transaction record, contact the DPU Coordinator.

## **PROBLEMS, CREDITS, AND DISPUTED ITEMS:**

### **PROBLEMS**

If a DPU Cardholder has a problem with a purchased item or billing, the DPU Cardholder is responsible for resolving the issue directly with the merchant. If the DPU Cardholder is unable to resolve the issue, the DPU Cardholder should follow the instructions outlined below in the Disputes section. If a DPU Cardholder discovers that the merchant has billed them twice for material, they must immediately contact the merchant and work

on the problem and request a credit. Notify the DPU Coordinator of problems with specific merchants.

### **CREDITS**

The merchant should issue a credit with the Bank for material that has been returned. The credit should appear in the "Un-reconciled Transactions" screen as a negative amount. The credit amount is then reconciled to the appropriate order. If a credit has not appeared within a 2-3 week time period, re-notify the merchant. If the DPU Cardholder can not get the merchant to issue a credit they should follow the instructions outlined below in the Disputes section. This must be done within sixty (60) days of the billing date.

The DPU Cardholder should request the merchant to send the credit documentation to their attention. This documentation must be placed in the PCard order file.

### **DISPUTES**

If a transaction cannot be resolved, the DPU Cardholder must call the DPU Coordinator, DPU Team Leader or DPU Manager to file a dispute within 60 days of the bank transaction (charge) hitting the card. The DPU Coordinator or DPU Manager will authorize you to file a dispute with the bank and give authorization to create a quick order for the transaction in question. Cardholder must forward a copy of the dispute form filled out to the DPU Coordinator. The Bank will intercede with the merchant on behalf of the DPU Cardholder. The Bank will credit the DPU Cardholder account for the amount of the transaction while the matter is being investigated. When the dispute has been resolved, the bank will send written notification to the DPU Cardholder regarding the outcome. At that time the credit becomes permanent or if they find in favor of the merchant, the credit will be taken off the card. **All paperwork related to the dispute must be kept with DPU Cardholder records.**

### **MERCHANT INVOICES**

If you are having problems with a merchant, the copy of the invoice may be helpful. Paperwork should never be sent to Accounts Payable, it should be sent to the bill to address tied to your Procurement Card. The bill to address is:

UC Lawrence Berkeley National Lab  
Cardholder Name  
C/O Eileen Nasto  
One Cyclotron Road  
Procurement M/S 937R0200  
Berkeley, CA 94720-0001

For security purposes never have a merchant include your cardholder number on any package, and encourage them **NOT** to put your Visa account number and expiration date on the packing slip. *Please note*, it is the dollar amount that has actually been charged to your card that's important, not the invoice, which can sometimes list a different amount.



## **BILLING PROBLEMS**

The DPU Cardholder calls the merchant if they have questions or problems related to information on their Transaction Summary "Posted" Report (Visa bill). **It is the DPU Cardholder's responsibility to resolve all billing problems with the merchant.** The merchant may give you a credit on your next month's statement as the resolution. Always note who authorized the credit and the date, as you would with any other approvals. It is the DPU Cardholder's responsibility to verify that the credit has been made against their PCard. If the problem cannot be worked out with the merchant, file a dispute and follow directions under DISPUTE SECTION. You have sixty (60) days from the time the charge hits your card to file a dispute with the bank. If you wait beyond that time the bank will not investigate the dispute. Remember to try to work out the problem first with the merchant.

## **PRE-PAYMENT IS NOT ALLOWED**

If the merchant insists on processing the purchase transaction before the material has shipped, DO NOT place a procurement card purchase with them. Under the Laboratory's contract with DOE pre-payment for material is not allowed.

## **CANCELING AN ITEM**

Canceling an item should only require a call to the merchant and perhaps a shipping document to return the item if the item has been received. Note the name of who authorized the cancellation in the PCard order.

## **CANCELLATION FEES**

DPU Cardholders shall not authorize cancellation fees without prior written approval from the DPU Manager or DPU Team Leader.

## **UN-RECONCILED TRANSACTIONS**

Any un-reconciled transactions that have hit the PCard and haven't been matched by the monthly deadline will be charged to the DPU Cardholder's default project number. It is the DPU Cardholders responsibility to resolve any GL created PCard orders. Contact the DPU Coordinator for assistance.

## **RECORD KEEPING**

The DPU Cardholder is required to maintain the following:

- 1) **PCard order file** – ePro requisition printed from PeopleSoft (see exhibit), check list (see exhibit), and PCard order printed out from PCard software and placed in the PCard file.
- 2) **Mailed Invoices/Invoices from Internet Orders** for procurement card purchases if you have them (not required). If you receive an invoice with sales tax from the vendor or the DPU Coordinator you must file with the PCard order. All invoices from Internet Orders should be printed and filed with your PCard order.
- 3) **Screen shots/confirmation on items ordered on the internet, Shipping Documents, Credits and any other documentation** must be attached and kept with the PCard order for auditing purposes.

- 4) **Memo(s)/E-Mail(s)/Restricted Item List Waiver(s)** any memo(s), e-mail(s) or restricted item list waiver(s) pertaining to the PCard order must be filed with the PCard order.
- 5) **Shipping Documents(s)** a copy of the shipping document must be filed with the PCard order.
- 6) **Request for Trade-in** approved by the Property Manager, must be filed with the PCard order.
- 7) **Request for Restocking Charge** approved by the Property Manager, must be filed with the PCard order.
- 8) **Rebate(s)** all paperwork for rebates must be filed with the PCard order.
- 9) **Sales Tax** all paperwork (invoice/screen shots) pertaining to the PCard order must be filed with the PCard order.
- 10) **Dispute(s)** all paperwork pertaining to the dispute including paperwork from the bank must be filed in the PCard order.
- 11) **Items of Foreign Origin** form must be filed in the PCard order.
- 12) **DPU Cardholder Transaction Summary Posted Report** (in the Exhibits - run by the DPU Cardholder monthly from the PCard software) for the purpose of validating and auditing all PCard transactions. (The signed Transaction Summary Posted Reports should be filed in a binder clearly marked with tabs dividing each month).
- 13) **Records** are to be maintained by the DPU Cardholder in an auditable format and accessible for a period of at least **three (3) years from the final payment date**. They may be destroyed after this time. If a DPU Cardholder has a sufficient amount of completed PCard paperwork, it can be archived. Check Archives and Record's web-site, [http://www-library.lbl.gov/aro/Rec\\_Transfer.html](http://www-library.lbl.gov/aro/Rec_Transfer.html) or call X5525 for instructions on archiving.

#### **REVIEWING DPU CARDHOLDER TRANSACTION SUMMARY POSTED REPORTS:**

The procedure for reconciling Visa transactions to orders is listed under the PCard Instructions section. After the General Ledger has run for the particular month, the DPU Cardholder must run the "Transaction Summary (Posted) Report" (approximately 2<sup>nd</sup> to the last day of the month) in the PCard software. The Procurement Card Production Schedule lists the earliest date each month that a DPU Cardholder can run their monthly statement. The report lists the transactions of the DPU Cardholder that have posted to the General Ledger for that particular month. The DPU Cardholder must review the posted transaction report for accuracy, sign and date the report on a monthly basis and forward the report and all back-up paperwork to their DPU Team Leader, who has been directed to review their PCard purchases on a monthly basis. This report must be kept by the DPU Cardholder with their other PCard records and be available for periodic audit.

#### **DPU MANAGER OR DPU TEAM LEADER APPROVAL ON THE TRANSACTION SUMMARY POSTED REPORT**

The DPU Team Leader or DPU Manager must approve and sign the report on a monthly basis. The signed reports are kept by the DPU Cardholder in a binder clearly marked and filed with monthly tabs. DPU Cardholders cannot act as the monthly approver of their procurement card statements. The review and signature by the DPU Cardholder's DPU Team Leader or DPU Manager is very important, it is part of the on-going audit process of the procurement card program.

## **DPU MANAGER OR DPU TEAM LEADER RANDOM MONTHLY REVIEW OF PCARD ORDERS**

A random review will be conducted on a monthly basis using PeopleSoft to select 63 PCard orders for the DPU Manager or DPU Team Leader to review.

Orders that have been requested for review must be delivered within two (2) days of request. The order must be delivered in the following format:

- PCard Transaction Summary Report (printed from IRIS) – if no report please note on the PCard order no transaction summary report
- PCard Order – most current to show receipt
- PCard Checklist
- PCard Order – the original printed after order was placed
- Any paperwork related to the PCard order (invoice, email(s), quotes, etc.)

If file(s) are not received in the following order, file(s) will be rejected and listed as non-compliant and returned to DPU cardholder to correct.

DPU Manager or DPU Team Leader will review the PCard orders and turn over all findings to the DPU Coordinator to log and follow through with corrective action.

DPU Coordinator will produce a report on a monthly and quarterly basis for the Policy and Assurance Manager.

## **AUDITS/COMPLIANCE REVIEWS/CARDHOLDER VIOLATIONS/CONSEQUENCE POLICY**

To ensure that the Procurement Card Program remains compliant with the University and Laboratory's procurement policies and procedures, periodic compliance reviews of DPU Cardholder transactions will be conducted by Procurement.

### **Investigations of Suspected Violations**

Suspected violations of the Procurement Card (PCard) Distributed Procurements Policy and Guidelines will be investigated by the Procurement Department, Human Resources, or as the Laboratory otherwise deems appropriate. Based on the seriousness of the alleged violation(s), a DPU Cardholder's privileges may be suspended during the investigation and the DPU Cardholder may be placed on investigatory leave as provided in the RPM or the relevant labor agreement.

### **Consequences of Violations for DPU Cardholder**

If a violation is established, the Laboratory will take appropriate action, including but not limited to:

- Mandatory attendance at additional training classes
- DPU Cardholder reimburse the Laboratory for unauthorized expenditures
- Temporary suspension of the DPU Cardholder privileges
- Permanent revocation of the DPU Cardholder privileges and/or
- Corrective action, including dismissal, as provided in the RPM

In addition, violations involving fraud, theft or other criminal activity may be referred to appropriate authorities for prosecution.

### **Performance Evaluations for DPU Cardholders**

The DPU Cardholders performance evaluation will reflect the ability to adhere to all policies and guidelines established for the Distributed Procurement Unit and including those listed below.

### **Performance Evaluations for DPU Team Leaders**

The DPU Team Leaders performance evaluation will reflect the ability to adhere to all policies and guidelines established for the Distributed Procurement Unit and including those listed below.

### **Training**

All new DPU Cardholders will be required to take training prior to receiving their Procurement Card.

DPU Cardholders must take mandatory cardholder refresher training annually.

DPU Team Leaders must take mandatory refresher training annually.

### **Ramifications of Misusing/Abusing Procurement Cards**

Intentional misuse or abuse of the procurement card will result in immediate revocation of procurement card privileges, and may include further disciplinary action which may include termination of employment. DPU Cardholder may also be financially liable for personal use.

### **SHARING OF PCARD**

**Lending or sharing of the PCard is strictly prohibited!** The only person authorized to use the PCard, and who has been given Commitment Authority to place Procurement Card Purchases, is the person to whom the card was issued. **DPU Cardholders who violate this policy will face disciplinary action.**

### **LOST OR STOLEN CARDS**

If the DPU Cardholder's PCard is lost or stolen, or if it is believed that the account number has been compromised in a fraudulent manner, the DPU Cardholder must immediately notify the Bank at the 24 hour, toll-free line 800-344-5696 **and** the DPU Manager, DPU Team Leader, or DPU Coordinator.

**Liability:** Prior to reporting the problem to the bank, the DPU Cardholder/Procurement is responsible for charges up to the transaction/cycle limits of the card. After the DPU Cardholder reports the problem to the bank, the DPU Cardholder/Procurement is not responsible for further charges.

Note: If transactions occur after a card is reported lost or stolen, DPU Cardholder must immediately notify the DPU Manager, DPU Coordinator or DPU Team Leader.

## **TERMINATION OF EMPLOYMENT**

If a DPU Cardholder terminates employment, the procurement card must be returned to the DPU Manager. Procurement card records should be left with the DPU Team Leader. The records must be maintained for a period of three (3) years. It is the responsibility of the DPU Cardholder to ensure that the PCard is returned (cut in half) and canceled.

Human Resource Information Systems sends email to DPU Coordinator daily alerting them of any DPU Cardholder that has terminated employment at Berkeley Lab. DPU Coordinator notifies DPU Manager of any findings. DPU Manager cancels Procurement Card with US Bank and follows through with DPU Team Leader to secure Procurement Card is returned.

## **ETHICS**

- A. DPU Cardholder's will maintain and practice the highest possible standards of ethical behavior, professional courtesy, and competence in dealing with both suppliers and LBNL personnel. Applicable laws must be scrupulously observed at all times. In addition, the DPU Cardholder will exhibit ethical behavior that goes beyond observance of law, because an act may be lawful and yet highly unethical. Ethical behavior carries with it the broad idea of "what should be" and demands the existence of sound moral character. Implicit in ethical behavior is the acceptance of responsibility for one's conduct.
- B. Personal contacts form much of the basis for the suppliers' opinions of LBNL. It is, therefore, the responsibility of the DPU Cardholder's to maintain the good name of LBNL and to develop and maintain good relations between LBNL and its suppliers. In personal contacts with the suppliers, the DPU Cardholder's should represent the interests and needs of all LBNL programs and departments.
- C. DPU Cardholder's should adopt the following standards of purchasing practice as a guide to ethical practices:
  - 1. Avoid even the appearance of inappropriate, unprofessional, or unethical behavior in relationships, actions, and communications;
  - 2. Demonstrate loyalty to LBNL by diligently following the ethical and lawful instructions of LBNL, using reasonable care and acting only within the limits of the authority granted;
  - 3. Refrain from any private or professional activity that would create a conflict between personal interests and the interests of LBNL;
  - 4. Do not solicit or accept money, loans, credits, prejudicial discounts, gifts, entertainment, favors, or services from present or potential suppliers;
  - 5. Exercise due care not to disclose LBNL proprietary or business information that would unduly benefit a supplier in its dealings with LBNL;
  - 6. Promote positive supplier relationships through courtesy and impartiality;
  - 7. Do not engage in practices that would restrict competition; and

8. Demonstrate that all segments of society have the opportunity to participate in LBNL procurements by supporting small businesses to the maximum practicable extent, including disadvantaged, historically underutilized business zone (HUBZone), veteran-owned, service-disabled veteran-owned, and woman-owned businesses.

**All Procurement DPU Cardholders are required to attend a Procurement Ethics session or participate in an e-mail Ethics Briefings.**

For simplicity, remember that purchases are for government use only, and no individual, whether directly or indirectly, is ever to personally benefit from your procurement card purchases. (For example, you cannot purchase items from your brother's store.) If a situation ever arises where you feel uncomfortable with what you are being asked to buy, you can always question the person, decline to purchase the item, or call the DPU Manager or DPU Team Leader for advice. Remember, perception is important. Gratuities and promotional items offered by merchants are to be declined. As with any offer, if it sounds too good to be true, it's a good idea to question it.